

100.2483  
Gill 12-27



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gill et al.

Serial No.: 10/644,235

Filed: August 20, 2003

For: METHODS AND APPARATUS FOR  
PRODUCING TRANSMISSION FAILURE  
PROTECTED, BRIDGED, AND  
DISPERSION RESISTANT SIGNALS

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date set forth below:

Signed: 

Name: Karen S. Flynn

Date: November 20, 2003

Group: Not Yet Assigned

Examiner: Not Yet Assigned

---

Durham, North Carolina  
November 20, 2003

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER § 197(a)

Sir:

This Information Disclosure Statement is being filed before a first Official Action has been mailed in this case.

Pursuant to 37 C.F.R. 1.56, 1.97 and 1.98, applicant's attorney wishes to bring to the attention of the Patent and Trademark Office the following items listed on the accompanying Forms PTO/SB/08A and PTO/SB/08B.

## ITEMS

	<u>Document No.</u>	<u>Publication Date</u>	<u>Patentee/Applicant</u>
1.	U.S. Patent Application Serial No. 10/245,029, filed on 09/17/2002, entitled "Provisionable Keep-Alive Signal for Physical-Layer Protection of an Optical Network"	—	Korotky et al.
2.	U.S. Patent No. 5,123,065	06/16/1992	Enochs
3.	U.S. Patent No. 6,542,276	04/01/2003	Laroia et al.

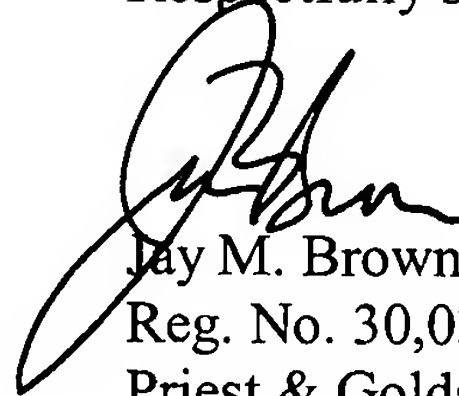
### Other Publications

4. Fiber Optic Components: External Modulators, <http://www.fiber-optics.info/articles/external-mod.htm>, Publisher: Force, Incorporated, accessed 04/22/2003
5. KLOEPPEL, All-Optical Frequency Shifter is Fast and Accurate, <http://www.news.uiuc.edu/scitips/03/0311frequency.html>, 03/11/2003, Publisher: News Bureau, University of Illinois at Urbana-Champaign
6. LEE ET AL., Demonstration of a Photonicly Controlled RF Phase Shifter, IEEE Microwave and Guided Wave Letters, September 1999, Page(s) 357-359, Volume 9, Number 9
7. Modulator Technology, [http://www.pacificwaveind.com/html/f-pwc\\_modulator.htm](http://www.pacificwaveind.com/html/f-pwc_modulator.htm), Publisher: Pacific Wave Communications, accessed 04/23/2003
8. Phase Shifter Technology, [http://www.pacificwaveind.com/html/f-pwc\\_phase.htm](http://www.pacificwaveind.com/html/f-pwc_phase.htm), Publisher: Pacific Wave Communications, accessed 04/23/2003
9. SANGER, How Fiber Optics Works, The Industrial Physicist, February/March 2002, Page(s) 18-21
10. SONG, DWDM and the Future Integrated Services Networks, IEEE Canadian Review, Spring 2000, Page(s) 5-7
11. STARK ET AL., Line Coding for Dispersion Tolerance and Spectral Efficiency: Duobinary and Beyond, Optical Fiber Communication Conference, International Conference on Integrated Optics and Optical Fiber Communication, OFC/IOOC, Technical Digest, 1999, Page(s) 331-333, Volume 2

12. Using the Lithium Niobate Modulator: Electro-Optical and Mechanical Connections, Technical Note, April 1998, Page(s) 1-12, Publisher: Lucent Technologies Microelectronics Group
13. WOOTEN ET AL., A Review of Lithium Niobate Modulators for Fiber-Optic Communications Systems, IEEE Journal of Selected Topics in Quantum Electronics, January/February 2000, Page(s) 69-82, Volume 6, Number 1

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made nor shall it be construed as an admission that the information cited is considered to be material to patentability, nor shall it be construed that no other material information exists.

Respectfully submitted,



Jay M. Brown  
Reg. No. 30,033  
Priest & Goldstein, PLLC  
5015 Southpark Drive, Suite 230  
Durham, NC 27713-7736  
(919) 806-1600



# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**(use as many sheets as necessary)**

Sheet

1

of

2

Attorney Docket Number

100.2483

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner  
Signature

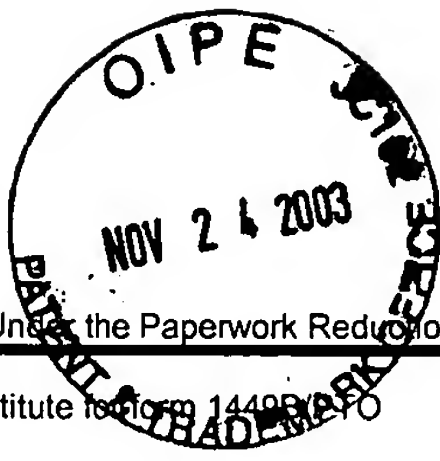
Date \_\_\_\_\_

**Considered**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

***If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.***



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08B (06-03)  
Approved for use through 06/30/2003. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449B (P.O.)

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

### Complete if Known

Application Number	10/644,235
Filing Date	08/20/2003
First Named Inventor	Gill et al.
Art Unit	
Examiner Name	

Sheet	2	of	2	Attorney Docket Number	100.2483
-------	---	----	---	------------------------	----------

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Fiber Optic Components: External Modulators, <a href="http://www.fiber-optics.info/articles/external-mod.htm">http://www.fiber-optics.info/articles/external-mod.htm</a> , Publisher: Force, Incorporated, accessed 04/22/2003	
		KLOEPPEL, All-Optical Frequency Shifter is Fast and Accurate, <a href="http://www.news.uiuc.edu/scitips/03/0311frequency.html">http://www.news.uiuc.edu/scitips/03/0311frequency.html</a> , 03/11/2003, Publisher: News Bureau, University of Illinois at Urbana-Champaign	
		LEE ET AL., Demonstration of a Photonic Controlled RF Phase Shifter, IEEE Microwave and Guided Wave Letters, September 1999, Page(s) 357-359, Volume 9, Number 9	
		Modulator Technology, <a href="http://www.pacificwaveind.com/html/f-pwc_modulator.htm">http://www.pacificwaveind.com/html/f-pwc_modulator.htm</a> , Publisher: Pacific Wave Communications, accessed 04/23/2003	
		Phase Shifter Technology, <a href="http://www.pacificwaveind.com/html/f-pwc_phase.htm">http://www.pacificwaveind.com/html/f-pwc_phase.htm</a> , Publisher: Pacific Wave Communications, accessed 04/23/2003	
		SANGER, How Fiber Optics Works, The Industrial Physicist, February/March 2002, Page(s) 18-21	
		SONG, DWDM and the Future Integrated Services Networks, IEEE Canadian Review, Spring 2000, Page(s) 5-7	
		STARK ET AL., Line Coding for Dispersion Tolerance and Spectral Efficiency: Duobinary and Beyond, Optical Fiber Communication Conference, International Conference on Integrated Optics and Optical Fiber Communication, OFC/IOOC, Technical Digest, 1999, Page(s) 331-333, Volume 2	
		Using the Lithium Niobate Modulator: Electro-Optical and Mechanical Connections, Technical Note, April 1998, Page(s) 1-12, Publisher: Lucent Technologies Microelectronics Group	
		WOOTEN ET AL., A Review of Lithium Niobate Modulators for Fiber-Optic Communications Systems, IEEE Journal of Selected Topics in Quantum Electronics, January/February 2000, Page(s) 69-82, Volume 6, Number 1	

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.  
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.